Home Office

AUTHORITY: The Secretary of State for the Home Department

Volume 3

Schedule B – Mobilisation and Permit to Operate

Travel Services

ITT DOCUMENT LIST

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ANNEX A CONTRACT TRANSFER COMPACT

1. MOBILISATION REQUIREMENTS

1.1 MOBILISATION PLAN

1.1.1 From the start of Mobilisation Period the Service Provider shall implement the activities and duties detailed within the mobilisation plan.

1.1.2 All items within the mobilisation plan, as outlined in this Schedule B (*Mobilisation and Permit to Operate*), must be approved by the Authority during the Mobilisation Period.

1.1.3 Any modifications required by the Authority to the Mobilisation Plan (which shall have the meaning given in this Schedule) originally submitted by the service provider at the time of tender, shall be notified by the Authority and a revised plan shall be provided by the service provider within five (5) working days of contract signature, for approval by the Authority. Approval by the Authority will not be unreasonably withheld.

1.1.4 Any modifications required by the Authority to the Mobilisation Plan during the Mobilisation Period shall be notified by the Authority and an amended Plan shall be provided by the Service Provider for approval by the Authority within five (5) working days. Approval by the Authority will not be unreasonably withheld.

1.1.5 The Mobilisation Plan shall detail:

a) Governance arrangements during the Mobilisation Period and contact details

b) Status reporting to the Authority on a weekly basis to include progress against the project plan, project issues and associated resolution and/or mitigating actions;

c) The schedule of meetings and reporting requirements required by the Authority during the Mobilisation Period. As a minimum, this shall include weekly meetings and updated progress reports.

d) The programme to fulfil obligations under TUPE including procedures for Service Commencement relating to TUPE transfers;

e) The programme of high level tasks (maximum breakdown of five (5) Working Days actual effort) and critical path for implementing the requirements to obtain a Permit to Operate as set out in this Schedule – the programme shall clearly indicate where the Service Provider and/or the Authority are required to complete a task; and

f) Should the critical path change, the Service Provider shall submit a new programme to the Authority within five (5) Working Days of the change being identified.

2. PERMIT TO OPERATE

2.1 OBTAINING PERMIT TO OPERATE

2.1.1 On or prior to the commencement of Services, the Service Provider shall request and obtain from the Authority a Permit to Operate.

2.1.2 A Permit to Operate will only be issued if the Service Provider has demonstrated to the reasonable satisfaction and approval of the Authority that it:

a) Can provide the Services in a manner which meets all the requirements of the Contract.

b) Has complied with the requirements to provide Service Delivery Plans (including Service Operating Procedures) and other required information, documentation or otherwise as set out below in this Schedule.

2.1.3 Following receipt of any information under this Schedule, the Authority shall be entitled to request from the Service Provider, and the Service Provider shall be obliged to provide, such further information as the Authority may require for the purpose of implementing the Permit to Operate, provided that any request for such further information shall be made by the Authority as soon as is reasonably practicable following the receipt of the information outlined in this Schedule.

2.1.4 Notwithstanding anything in the Contract, the Authority shall not issue a Permit to Operate unless the information required by the Authority has been supplied to it and the necessary approvals (including without limitation final approval of the Service Delivery Plans) have been given by the Authority to the Services Provider as specified or referred to in this Schedule.

Temporary Permit to Operate

2.1.5 If upon receipt of the formal request from the Service Provider under paragraph 2.1.1 above the Authority does not believe that all service requirements have been met, but sufficient capability is in place to enable services to commence it reserves the right to issue a conditional permit to operate (A **Temporary Permit to Operate**). Where such Temporary Permit to Operate is issued the Service Provider shall provide for approval with 5 business days an action plan to address all deficiencies in the service provision that have prevented issuing the Full Permit to Operate. Once the Service Provider has addressed all deficiencies it shall evidence this and request the full permit to operate.

2.1.6 The fact that a Temporary Permit to Operate has been issued does no relieve the Service Provider of any obligations under this contract, and all terms of the contract shall be applied in full.

2.2 TIMETABLE FOR PERMIT TO OPERATE

2.2.1 The timetable for obtaining the Permit to Operate is set out in Clause 11 (*Commencement of Full Operations and Permit to Operate*) of the Contract.

3. SERVICE DELIVERY PLANS AND REQUIREMENTS

3.1 GENERAL

3.1.1 In order to obtain a Permit to Operate the Service Provider must have complied with the requirements under the Contract, including but not limited to Schedule D (*Service Specification*), Schedule R (*IT System Requirements*) and this Schedule B (*Mobilisation and Permit to Operate*) and provided the relevant information as set below, to the reasonable satisfaction of the Authority.

3.1.2 The Service Provider shall submit a Service Delivery Plan for the provision of all the Services, and where specified additional requirements, for formal Authority approval. As a minimum, the Authority requires the following to be covered:

3.2 SERVICE MANAGEMENT REQUIREMENTS

Service Delivery Plan

3.2.1 Submit a description of the Scope and Services objectives

3.2.2 Provide detailed Method Statements for each Service which have been approved by the Authority

3.3 MANAGEMENT, STAFFING AND PERSONNEL

Service Delivery Plan

3.3.1 Provide a definition of overall management structure, detailing management roles, responsibilities and reporting structures.

3.3.2 Provide governance structures including meetings calendar and attendees.

3.3.3 Confirm the levels of decision making processes at Contract level, confirm key personnel and provide details of CVs and intended roles, including but not limited to Named Representatives, and Senior Operational Managers.

3.3.4 Confirm where budget responsibilities lie and level of responsibility.

3.3.5 Provide Job Descriptions.

3.3.6 Confirm and provide an organisation chart for the delivery of the Travel Services.

3.3.7 Confirm the numbers of Staff, by job title, job description, grade and skill base across the Contract to deliver Services.

3.3.8 Define the regular working hours and availability of Staff (managers and employees)

3.3.9 Confirm details for management and supervision outside operating hours, including relevant contact details, confirm the dedicated point of contact for the Authority (24 hours per day / 365(6) days per year) with overall responsibility for the Services and access to the highest levels of the Service Provider's senior management.

3.3.10 Define mobilisation procedures for Service commencement relating to TUPE transfers; and

3.3.11 Obtain Security clearances for all Staff

3.4 SUBCONTRACTED SERVICES

Service Delivery Plan

3.4.1 Provide details as to which Services will be carried out in-house and which will be subcontracted with details of Sub-Contractors and details of procedures, including procurement arrangements, for sub-contracting any Services.

3.5 SERVICE PERFORMANCE MONITORING PROGRAMME

Service Delivery Plan

3.5.1 Provide a Service Performance Monitoring programme which has the Authority's approval.

3.5.2 Provide details of the Self monitoring procedures

3.5.3 Provide details of an internal audit program to identify and address non compliance with service requirements

Additional Requirement

3.5.4 Provide the Monthly Performance Report Template

3.6 HELP DESK

Service Delivery Plan

3.6.1 Provide Help Desk procedures and overall management procedures

Additional Requirement

3.6.2 Provide Help Desk Instructions provided to Authority

3.6.3 Implement the Help Desk which has been demonstrated and tested over 5 day period with the Authority's approval.

3.7 MANAGEMENT REPORTS AND DATA COLLECTION AND MANAGEMENT

Service Delivery Plan

3.7.1 Provide details of Management Information systems and report production

3.7.2 Demonstrate secure data storage provision, to the required government Standards

3.7.3 Provide meeting details including level of attendees

Additional Requirement

3.7.4 Provide Daily, Weekly, Monthly and Strategic Management Report templates

3.7.5 Provide a draft Agenda for Operational Review, and Strategic Delivery and Review meetings

3.8 CUSTOMER SATISFACTION AND COMPLAINTS PROCEDURES

Service Delivery Plan

3.8.1 Provide details of Customer Satisfaction Systems and Procedures

3.8.2 Provide details of Customer Complaints Systems and Procedures

3.9 ENVIRONMENTAL MANAGEMENT

Service Delivery Plan

3.9.1 Provide Details of Environmental Management System

3.9.2 Provide the Environmental Sustainability Policy

3.9.3 Confirm and detail procedures in place to monitor the Carbon Dioxide emissions related to tickets purchased in respect of the Carbon Reduction Commitment.

3.10 HEALTH AND SAFETY REQUIREMENTS

Service Delivery Plan

3.10.1 Provide details of Health and Safety systems, accreditations, policies, procedures and protocols for all activities and locations where Services will be provided;

3.10.2 Provide details of Accident and Reporting procedures

3.10.3 Provide details of systems for the receipt from the Authority, and dissemination to Staff, of warnings and safety action bulletin notices published by the Authority, and for ensuring appropriate action is taken and recorded centrally

3.10.4 Provide details of systems and procedures for notifying the Authority of any matters in relation to the Services which the Service Provider considers a hazard, or may adversely affect the delivery of the service, including but not limited to notification of Notices to Airmen (NOTAMs), and Department of Transport notifications relevant to scheduled or charter services used by the Authority.

3.11 QUALITY MANAGEMENT AND ASSURANCE

Service Delivery Plan

3.11.1 Provide details of Quality Assurance Procedures, including Quality Management review and audit systems to be adopted.

3.11.2 Provide details for reviewing and improving quality systems

Additional Requirement

3.11.3 Provide the Quality Assurance Plan

3.12 CONTINGENCY PLANNING

Service Delivery Plan:

3.12.1 Provide details of contingency planning and business continuity arrangements

Additional Requirement

3.12.2 Provide all required Contingency Plans and business continuity arrangements;

3.12.3 Provide details of testing procedures for Contingency Plans

3.13 INSURANCE

Additional Requirement

3.13.1 Provide details and copies of Insurance policies provided for Service Provider and Charter companies

3.14 SYSTEM IMPLEMENTATION AND TESTING

Service Delivery Plan

3.14.1 Provide details of system implementation and testing arrangements.

Additional Requirement

3.14.2 Provide IT System Implementation and Testing Plans for each release required to meet the full IT specification set out in Schedule R (*IT System Requirement)* and as required to meet the requirements in Schedule D (*Service Specification*). To subsequently provide an IT System Implementation and Testing Plan to support the assurance of the implementation of the end to end Travel and Escort system when the escort provider system is integrated to the Authority 'hub'.

3.14.3 The Implementation and Test Plans must satisfy the Authority that the IT can support all services as set out in Schedules D and R. Testing will include the following:- unit testing, integration testing, system testing, user confidence testing, user assurance testing, operational testing, performance testing, functional testing, non-functional testing, penetration testing, security accreditation testing and regression testing as appropriate and as detailed against each Service.

3.14.4 The Service Provider shall consult with the Authority in preparing the Test Plans and a Test Strategy, such consultation to include the acceptability to the Authority of the proposed scope, duration, test progress reviews and timing of the Testing and Acceptance criteria. On completion of testing phases the Service Provider shall provide a Test Report which the Authority must approve prior to progression to the next phase.

3.14.5 The Authority will support all reasonable requests for assistance during testing which must include real (if anonymised) travel request data prior to go-live. Case types will include, but not be limited to:

a) Scheduled tickets (electronic booking form)
b) Charters
c) booking hotels
d) System for issuing emergency tickets
e) Process for maintaining the Travel Information Guide and
f) Finance systems, including an Invoicing and Payment System

3.14.6 The Service Provider to demonstrate that all systems are established and operational following testing with up to one hundred live travel booking requests to be determined by the Authority with the purpose of proving the system can manage a range of travel request types and scenarios prior to the Authority granting Approval to Operate.
The Service Provider must provide a contingency plan for handling requests in the event of system failure by the agreed transition date.

3.15 DEVELOPMENT OF TRAVEL INFORMATION DATA

Service Delivery Plan

3.15.1 Provide details of how the Travel information Guide will be maintained and kept up to date.

Additional Requirement

3.15.2 Establish a full document of travel information for all Carriers and routes to the satisfaction of the Authority.

4. OTHER MOBILISATION REQUIREMENTS

4.1 MOBILISATION GOVERNANCE

4.1.1 The Service Provider shall appoint a suitably experienced and empowered mobilisation project manager, and provide their contract details to the Authority.

4.1.2 Attend mobilisation meetings and provide briefing presentations on Service Delivery to Authority.

4.2 MANAGEMENT INFORMATION

4.2.1 Demonstrate the availability to the Authority, on request and within ten (10) Business Days (or as otherwise agreed with the Authority), of statistical information to enable the Authority to undertake its reporting requirements to central government, reports and supporting records reasonably required for the Authority to undertake its own audit requirements;

4.2.2 Demonstrate the availability to the Authority of up to date and secure Traveller (including Returnees) information, on request and within three (3) hours of request (or as otherwise agreed with the Authority); and

4.2.3 Demonstrate the availability to the Authority, on request, of access, to any IT systems holding information about Travellers.

4.3 CO-OPERATE WITH OTHER PARTIES

4.3.1 To co-operate with other parties, including, but not limited to the Authority, and the outgoing contractor to effect the smooth transfer of service provision.

4.3.2 To abide by the requirements of “The Compact” Annex A.

4.3.3 The outgoing Service Provider does not have to comply with The Compact under the terms of their contract, and as such this will be on a best endeavours basis. The Service Provider shall inform the Authority of any instance where the outgoing services provider failure to comply with The Compact is impacting upon mobilisation

5. SUBMISSION OF DOCUMENTATION

5.1 FORMAT OF DOCUMENTATION

5.1.1 All of the documents submitted to the Authority shall be labelled and indexed in accordance with the provisions of this Schedule.

5.1.2 The Service Provider shall provide two copies of the documentation in both hard and electronic format, both being in 12 pt Arial MS Word® or MS Excel®. The documentation shall be in the manner and timescales given in the Contract, or agreed with the Authority.

5.1.3 The documentation created for the Permit to Operate shall meet all of the requirements stated in Schedule D (*Service Specification*).

6. MOBILISATION – ESCORT & TRAVEL SERVICE

6.1 INTERIM STATE

6.1.1 The Travel Services provided under this contract are designed to work with services provided under a new Escorting contract. However due to the differing procurement timetables for the two contracts, there will be a period during which the Service Provider is delivering its Services and will be required to work with the Current Escort Services Provider. This is know as the “Interim State” Schedule C (*Interim State*).

6.1.2 The Service Provider will be required to mobilise their services in accordance with the contract and this Schedule B (*Mobilisation and Permit to Operate*), to ensure that they delivery the full requirements under the contract, and where required adapt these to enable a seamless service with the current Escort Service Provider.

6.2 CESSATION OF INTERIM STATE AND PHASE 2 MOBILISATION

6.2.1 Prior to commencement of the new Escorting contract there will be a period of mobilisation for the new Escort Service Provider. The Service provider shall cooperate with, and assist the Authority and the Escort Service provider as required during this time to enable the effective commencement of the escorting service.

6.2.2 During this Mobilisation Period under the escort contract it may be necessary for the Service Provider to adapt their systems, processes and procedures to enable a seamless service with the new Escort Service Provider. Should this be required the Authority will notify the Service Provider and require the production of a Phase 2 Service Delivery Plan, which shall be submitted to the Authority for approval within 20 working days of request.

6.2.3 The Phase 2 Service Delivery Plan shall detail any changes required to the Service providers service, systems, processes or procedures and as a minimum shall consider all the elements required under Section 1 to 5 of this Schedule B (*Mobilisation and Permit to Operate*). Where no changes are required the service provider shall simply state this under the relevant requirement in the phase two Service Delivery Plan.

6.2.4 The Service provider will agree with the Authority as part of the phase 2 Service Delivery Plan, any revisions or testing to their IT systems that are required.

ANNEX A. CONTRACT TRANSFER COMPACT

1. GENERAL

1.1 It is recognised by all parties that effective contract handover is the responsibility of the incoming, and outgoing service providers.

1.2 Effective co-operation between all parties is essential to the effective transfer of the contract, and this compact details the basic terms of co-operation by which all parties agree to abide.

1.3 This compact is in addition to any specific obligation covered elsewhere within the contract. Where an obligation/term detailed elsewhere within the contract contradicts this compact, then that obligation/term shall take precedence.

2. OUTGOING SERVICE PROVIDER

2.1 Agrees to co-operate with the Service Provider and the Authority to effect the smooth transfer of the contract, including the timely, detailed, and accurate provision of information as required.

2.2 Agrees to provide a principle point of contact, for the Service Provider, and the Authority, who has responsibility for demobilisation and the Authority to make decisions binding upon the outgoing service provider.

2.3 Agrees to make relevant Staff available to facilitate the smooth transfer of the service. This includes but is not limited to making Staff available for meetings with the Service Provider and/or the Authority, and responding in a timely manner to e-mails, and telephone calls.

2.4 Agrees that if specific working groups are established the outgoing service provider will provide suitable, experienced Staff, with the Authority to make decisions to participate within these working groups

2.5 Agrees to develop and abide by a communication strategy with the other parties in respect of the contract transfer.

2.6 Agrees to consider reasonable requests from the incoming contractor to communicate with existing Staff, and where such requests are granted to facilitate this communication.

2.7 Agrees to provide such facilities as required by the incoming contractor to facilitate contract handover, where such provision is feasible and reasonable.

2.8 Agrees to provide updated, accurate information to the Service Provider as soon as any change/issue is identified. This information would include, but not be limited to:

a) Notification of changes to the TUPE list (for example Staff resigning, or being retained by the outgoing service provider).

3. THE SERVICE PROVIDER

3.1 Agrees to co-operate with the outgoing service provider and the Authority to effect the smooth transfer of the contract, including the timely, detailed and accurate provision of information as required.

3.2 Agrees to provide a principle point of contact, for the outgoing service provider, and the Authority, who has responsibility for mobilisation, and the Authority to make decisions binding upon the incoming service provider.

3.3 Agrees to make relevant Staff available to facilitate the smooth transfer of the service. This includes but is not limited to making staff available for meetings with the outgoing service provider and/or the Authority, and responding in a timely manner to e-mails, and telephone calls.

3.4 Agrees that if specific working groups are established the Service Provider will provide suitable, experienced staff, with the Authority to make decisions to participate within these working groups.

3.5 Agrees to develop and abide by a communication strategy with the other parties in respect of the contract transfer.

3.6 Agrees to abide by any reasonable restriction placed upon it by the outgoing service provider, or the Authority in respect of, but not limited to:

a) Communication with Staff

3.7 Agrees that it will not undertake any action that will have an adverse effect upon the performance of the current contract.

4. THE AUTHORITY

4.1 Agrees that whilst it is recognised by all parties that effective contract handover is the responsibility of the incoming, and outgoing service provider, the Authority has a key liaison role in the process including, but not limited to;

a) Mediating issues between the incoming and outgoing contractors.

b) Escalating issues which cannot be resolved by mediation with the other parties senior management, to gain resolutions.

c) Chairing tripartite meetings (if required).

d) Facilitating the provision of information from either the incoming or outgoing contractor, where such information has not been made readily available.

4.2 Agrees to make relevant Staff available to facilitate the smooth transfer of the service. This includes but is not limited to making Staff available for meeting with the Service Provider and/or the outgoing service provider, and responding in a timely manner to e-mails, and telephone calls.

4.3 Agrees to provide updated, accurate information to the incoming and outgoing service provider in relation to any issue which may affect contract mobilisation or demobilisation.